IN THE UNITED STA

AT/ 2815/8

## N THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of

ZHEN Atty. Ref.: 925-192

<sup>2</sup> Serial No. 09/842,631 TC/A.U.: 2815

Filed: April 27, 2001 Examiner: J. Diaz

For: SEMICONDUCTOR DEVICE HAVING FERROELECTRIC THIN FILM

AND FABRICATIG METHOD THEREFOR

June 29, 2004

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Sir:

## INFORMATION DISCLOSURE STATEMENT

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

This statement should not be construed as a representation that a search has been made, or that information more material to the examination of the present patent

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application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith. It is further understood that the Examiner will consider information that had been cited by or submitted to the U.S. Patent and Trademark Office in a prior application relied on under 35 U.S.C. § 120. 1138 OG 37, 38 (May 19, 1992).

Applicants have checked the appropriate boxes below.

- 1. This Information Disclosure Statement is being filed within three months of the U.S. filing date OR before the mailing date of a first Office Action on the merits. No statement under 37 C.F.R. § 1.97(e) or fee is required. In the event, a first Office Action has been mailed prior to filing of the present Information Disclosure Statement, the Office is requested to treat the present paper s a submission under 37 C.F.R. § 1.97(c) and charge the undersigned's Deposit Account No. 14-1140 for the fee required by 37 C.F.R. § 1.17(p). The present paper is submitted in duplicate for this purpose.
- 2. This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection or Notice of Allowance.
  - a. I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
  - b. I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to my knowledge after making reasonable inquiry, no item of information contained in this Information Disclosure Statement was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
  - c. Attached is our Check No. in the amount of \$ in payment of the fee under 37 C.F.R. § 1.17(p).

3. X This Information Disclosure Statement is being filed more than three
months after the U.S. filing date and after the mailing date of a Final Rejection or Notice
of Allowance, but before payment of the Issue Fee. It is hereby requested that the
Information Disclosure Statement be considered. Attached is our check in the amount
of \$180.00 in payment of the fee under 37 C.F.R. § 1.17(i).
a. 🛛 I hereby state that each item of information contained in this
Information Disclosure Statement was cited in a communication from a
foreign patent office in a counterpart foreign application not more than
three months prior to the filing of this Information Disclosure Statement.
37 C.F.R. § 1.97(e)(1).
b. 🔲 I hereby state that no item of information in this Information Disclosure
Statement was cited in a communication from a foreign patent office in a
counterpart foreign application, and, to my knowledge after making
reasonable inquiry, no item of information contained in this Information
Disclosure Statement was known to any individual designated in 37 C.F.F
§ 1.56(c) more than three months prior to the filing of this Information
Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
4. Relevance of the non-English language document(s) is discussed in the
present specification.
5. 🛛 The document(s) was/were cited in a corresponding foreign application.
An English language version of the foreign search report is attached for the Examiner's
information.
6. A concise explanation of the relevance of the non-English language
document(s) appears below:
7. The Examiner's attention is directed to co-pending U.S. Patent Applicatio
No., filed, (copy attached) which is directed to related technical subject matter. The
identification of this U.S. Patent Application is not to be construed as a waiver of
secrecy as to that application now or upon issuance of the present application as a
patent. The Examiner is respectfully requested to consider the cited application and the

art cited therein during examination.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and to indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 14-1140 referencing docket number 925-192.

Respectfully submitted,

**NIXON & VANDERHYE P.C.** 

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## Sheet 1 of 1

## INFORMATION DISCLOSURE CITATION

(Use several sheets if necessary)

Atty. Docket No.	OILE	Serial No.	
925-192	(5)	09/842,631	
Applicant	JUN 2 9 2004 &		
Wendong ZHE	NE S		
Filing Date	A PANETA SPAN	TC/A.U.	
April 27 2001		2015	

*EXAMINER		U.S	. PATENT DOCUMENTS			EII IAIZ	DATE
INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	IF APPR	OPRIATE
اب	5,817,170	10/1998	DESU et al.				
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		FOREIG	IN PATENT DOCUMENTS			TDANG	LATION
							LATION
	DOCUMENT	DATE	COUNTRY	CLASS	SUBCLASS	YES	NO
	0 114 228 A2	08/1984	EP			X	
	0 709 355 A1	05/1996	EP			X	
	0 797 244 A2	09/1997	<u>EP</u>	<u> </u>		X	
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	WO 96/05334	02/1996	WIPO EP			ABSTRACT	
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	OTHER DOC	IMENITS (in alu	ding Author Title Date Portin	ont pages of	to )	L	J
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			ol. 259, No. 2 (1995), pp. 264-		or construc	tion, L	13C VICI
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*Examiner			Date Considered				
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Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to application.